



PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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3621
Jew**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/944,788
	Filing Date	August 31, 2001
	First Named Inventor	de Jesus Valdes, et al.
	Art Unit	3621
	Examiner Name	Sherr, Cristina
Total Number of Pages in This Submission	Attorney Docket Number	10454-022001/P-4190-4 (SRI/4190-4)

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) ____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1) 19 non-patent references 2) Stamped postcard from October 25, 2004 IDS Submission 3) IDS Transmittal & 1449 as submitted (and received by) from October 25, 2004 IDS submission
Remarks In response to the Office Action of March 22, 2005 having an Examiner's request for resubmission of non-patent literature, enclosed herewith are the 19 references originally included in the IDS submission of October 25, 2004 which have yet to be considered. It is believed no fee is due for this resubmission. However, in the event a fee is due, kindly charge that fee to deposit account number 20-0782. To facilitate that charge, a duplicate copy of this letter is enclosed		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Moser, Patterson & Sheridan, LLP		
Signature			
Printed Name	Kin-Wah Tong, Esq.		
Date	July 22, 2005	Reg. No.	39,400

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name	Tara Carter	Date	July 22, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and



The Official Stamp of the United States Patent and Trademark Office hereby acknowledges receipt of the following:

- 1) Information Disclosure Statement and PTO 1449
- 2) Copies of 38 References
- 3) Transmittal Letter
- 4) Fee Transmittal Letter
- 5) Return Receipt Postcard
- 6) First Class Mailing Certificate dated October 21, 2004

Applicant: de Jesus Valdes, et al.

Serial No.: 09/944,788 Filed: August 31, 2001

Title: PROBABILISTIC ALERT CORRELATION

Docket No: SRI/4190-4 Conf No.

Postcard Log # 20,001

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- 6) First Class Mailing Certificate dated October 21, 2004

Applicant: de Jesus Valdes, et al.

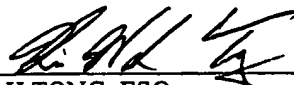
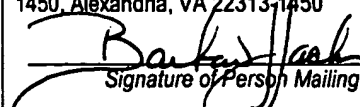
Serial No.: 09/944,788 Filed: August 31, 2001

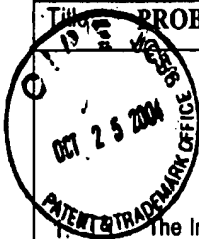
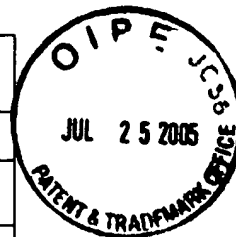
Title: PROBABILISTIC ALERT CORRELATION

Docket No: SRI/4190-4 Conf No.

Postcard Log # 20,001



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d)		Docket No. SRI/4190-4
In re Application of: de Jesus Valdes, et al.		
Serial No. 09/944,788	Filing Date August 31, 2001	Examiner Sherr, Cristina O. RECEIVED
Title: PROBABILISTIC ALERT CORRELATION		Group Art Unit 3600
Address to: Commissioner for Patents Alexandria, VA 22313-1450		OCT 28 2004 GROUP 3600
37 CFR 1.97(b)		
The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.		
37 CFR 1.97(c)		
2. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.		
37 CFR 1.97(d)		
3. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.		
Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)		
<input type="checkbox"/> Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))		
<input type="checkbox"/> No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))		
<input checked="" type="checkbox"/> The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.		
37 CFR §1.704(d)		
4. <input type="checkbox"/> Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.		
 KIN-WAH TONG, ESQ Reg. No. 39,400 Moser, Patterson & Sheridan, LLP Attorneys at Law 595 Shrewsbury Avenue, Suite 100 Shrewsbury, New Jersey 07702 732-530-9404		Dated: <u>10/20/04</u> Certificate of Mailing by First Class Mail I certify that this document is being deposited on <u>10-21-2004</u> with the U.S. Postal Service as first class mail under 37 CFR §1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450  Signature of Person Mailing Correspondence Barbara J. Jackson Typed or Printed Name of Person Mailing Correspondence



OCT 25 2004
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O I P E J C S 9 3
JUL 25 2005
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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant Claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number 09/944,788
Filing Date 08/31/2001
First Named Inventor De Jesus Valdes, et al.
Examiner Name Sherr, Cristina O.
Group / Art Unit 3821
Attorney Docket No. SRI/4190-4

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OCT 28 2004

GROUP 3600

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money ☐ Other ☐ None
Order

☒ Deposit Account

Deposit
Account
Number 20-0782

Deposit
Account
Name Moser, Patterson & Sheridan, LLP

The Director is authorized to: (Check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$) 0

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
		0	0	0	0

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

(\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

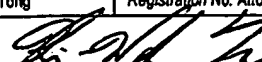
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 180

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Kin-Wah Tong	Registration No. Attorney/Agent	39,400	Telephone	732-530-9404
Signature				Date	10/20/04

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PTO/SB/21 (08-03)
Approved for use through 7/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/944,788	
	Filing Date	08/31/2001	
	First Named Inventor	De Jesus Valdes, et al.	
	Group Art Unit	3621	
	Examiner Name	Sherr, Cristina O.	
Total Number of Pages in This Submission	6	Attorney Docket Number	SRI/4190-4

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copies of References; Return Receipt Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Kin-Wah Tong, Esq. Moser, Patterson & Sheridan, LLP
Signature	
Date	10/20/04

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Typed or printed name	Barbara J. Jackson		
Signature		Date	10-21-2004

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1

of 3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3621

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	US-5,440,498	08-08-95	Timm	
	A2	US-5,475,365	12-12-95	Hoseit et al.	
	A3	US-5,517,429	05-14-96	Hamison	
	A4	US-5,568,471	10-22-96	Hershey et al.	
	A5	US-5,704,017	12-30-97	Heckerman et al.	
	A6	US-5,737,319	04-07-98	Croslin et al.	
	A7	US-6,092,194	07-18-00	Touboul	
	A8	US-6,263,441	07-17-01	Cromer et al.	
	A9	US-6,279,113	08-21-01	Vaidya, V.	
	A10	US-6,311,274	10-30-01	Day	
	A11	US-6,321,338	11-20-01	Porras et al.	
	A12	US-6,353,385	03-05-02	Molini et al.	
	A13	US-6,370,648	04-09-02	Diep, T	
	A14	US-6,408,391	06-18-02	Huff, et al.	
	A15	US-6,499,107	12-24-02	Gleichauf et al.	
	A16	US-6,502,082	12-31-02	Toyama et al.	
	A17	US-6,701,459	03-02-04	Ramanathan et al.	
	A18	US-6,704,874	03-09-04	Porras et al.	
	A19	US-6,707,795	03-16-04	Noorhosseini et al.	

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OCT 28 2004
GROUP 3600

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Country Code ⁴ -Number ⁴ -Kind Code ⁵ (if known)				
	B1					
	B2					
	B3					
	B4					

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Form for form 14498/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2

3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3621

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

NON PATENT LITERATURE DOCUMENTS

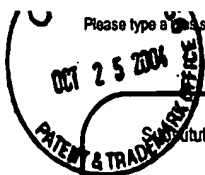
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
✓	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995	
✓	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994	
✓	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in Advances in Knowledge Discovery and Data Mining, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83	
✓	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 - 240	
✓	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999	
✓	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994	
✓	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386	
✓	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999	
✓	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50	
✓	C10	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 - 80, 1999	
✓	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 306 - 311	
✓	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq	
✓	C13	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998	

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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Supplement for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 3

of 3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3621

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
✓	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004	
✓	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc, et al., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004	
✓	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997	
✓	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997	
✓	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238	
✓	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004	
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